

## U.S. DEPARTMENT OF THE INTERIOR Supervisory Employee Performance Appraisal Plan

Employee Name and Social Security Number:		Title/Series/Grade:	
Duty Station:	Appraisal Period:	From:	To:

**Part A: Notification of Standards:** *Signatures certify that critical elements and performance standards were discussed. Critical elements and performance standards are contained in Part E.*

Employee:	Rating Official:	Reviewing Official (if applicable*):
Date:	Date:	Date:

\*If determined by Bureau/Office

**Part B: Progress Review:** *Signatures certify that performance was discussed.*

Employee:	Date:	Rating Official:	Date:
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**Part C: Summary Rating Determination:** To determine a summary rating, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: **Exceptional = 5 points; Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points.**) See reverse for complete instructions for assigning a Summary Rating.

Element Number	Numerical Rating
1	
2	
3	
4	
5	
Total:	

Total Numerical Rating \_\_\_\_\_ ÷ Number of Elements \_\_\_\_\_ = Numeric Summary Rating \_\_\_\_\_

**Part D: Overall Summary Rating:** Use conversion chart below to determine Summary Rating. Check the appropriate box:

<b>Exceptional</b>	4.6 – 5.00 AND No critical element rated lower than "Superior".
<b>Superior</b>	3.6 – 4.59 AND No critical element rated lower than "Fully Successful".
<b>Fully Successful</b>	3.0 – 3.59 AND No critical element rated lower than "Fully Successful".
<b>Minimally Successful</b>	2.0 – 2.99 AND No critical element rated lower than "Minimally Successful".
<b>Unsatisfactory</b>	One or more critical elements rated "Unsatisfactory".

  

Employee:	Rating Official:	Reviewing Official: (if applicable):
Date:	Date:	Date:

Check here if Interim Rating: \_\_\_\_\_ Performance Award: \_\_\_\_\_ Cash \_\_\_\_\_ QSI \_\_\_\_\_ Time Off \_\_\_\_\_

Employee's Signature above certifies that the overall summary rating was discussed. Reviewing Official's signature is required for Exceptional, Minimally Successful and Unsatisfactory ratings, and otherwise if determined by Bureau/Office.

# Instructions for Completing the Employee Performance Appraisal Plan

## Establishing Critical Elements and Performance Standards

Critical elements (at least one, but no more than five) should be established for each employee at the start of the performance year. Through these elements, employees are held accountable for work assignments and responsibilities of their position. A critical element is an assignment or responsibility of such importance that Unsatisfactory performance in that element alone would result in a determination that the employee's overall performance is Unsatisfactory. Please see the Performance Appraisal Handbook for more detailed information.

Performance standards are expressions of the performance threshold(s), requirement(s), or expectation(s) that must be met for each element at a particular level of performance. They must be focused on results and include credible measures. You may use the Benchmark Performance Standards from the Performance Appraisal Handbook (in conjunction with individually established performance standards) to describe, for each element, credible measures such as quality, quantity, timeliness and/or cost effectiveness, for at least the "Fully Successful" level. Rating officials are strongly encouraged to develop performance standards at additional levels, to ensure that the employee has a clear understanding of the level of performance expected. *At least one, and preferably all, critical elements must show how the element is linked to strategic goals, such as Government Performance Results Act (GPRA) or mission related goals of the organization. These goals should be aligned throughout the organization (i.e., show how the strategic goal cascades from the SES down to the lowest non-supervisory levels.) The employee should be able to clearly understand how the results they are held responsible for are linked to the results that those in their supervisory/managerial chain are held responsible for.*

## Progress Reviews

A progress review should be conducted at approximately mid-way through the rating period. Part B should be completed after the progress review. Any written feedback or recommended training can be noted on a separate sheet and attached to the employee performance appraisal plan.

## Assigning the Summary Rating

A specific rating is required for each critical element to reflect the level of performance demonstrated by the employee throughout the rating period. Only one numerical rating level is assigned for each critical element. Before the rating official assigns a summary rating, he/she should consider all interim summary ratings received for the employee during the annual appraisal period. The summary rating is assigned as follows:

- A. Review the employee performance appraisal plan and assess how the employee performed relative to the described performance standards.
- B. Appropriately document the employee's performance with a narrative summary that describes the employee's achievements for the critical elements as compared to the performance standards. A narrative must be written for each critical element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory. This narrative should contain examples of the employee's performance that substantiate and explain how the employee's performance falls within the level assigned. There is a block provided for the narrative summary for each critical element.
- C. In Part C of this form, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: Exceptional = 5 points, Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points).
- D. Add up the numerical rating levels to get a total.
- E. Divide the total by the number of critical elements to get an average. (Elements that are "not rated" because an employee has not had a chance to perform them during the rating year are not assigned any points and should not be used to determine the average rating.)
- F. Assign the employee a summary rating based on the table in Part D of this form.

**Note:** Whenever an employee is rated "**Unsatisfactory**" on one or more critical elements, the overall rating **must** be "**Unsatisfactory**" (regardless of total points). **The rating official should immediately contact the servicing human resources office.** Whenever an employee is rated "**Minimally Successful**" on one or more critical elements, the overall rating may not be higher than "**Minimally Successful**" (regardless of total points).

**Part E: Critical Elements and Performance Standards:** List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

<b>Critical Element 1:</b>	<p><b>GPRA/Strategic Goal:</b> Managing for Excellence; Strategic Management of Human Capital.</p> <p><b>Performance Measure:</b> Supervisory/managerial duties are effectively carried out in order to support the Department's capacity to manage its programs in a results-oriented, customer-focused and efficient manner.</p> <p><i><b>Supervisory/Managerial Element:</b> Performance of supervisory/managerial duties will be carried out in accordance with regulatory requirements and other Bureau/Office policies governing the following areas:</i></p> <ul style="list-style-type: none"> <li>▪ Diversity/EEO obligations;</li> <li>▪ Internal management controls;</li> <li>▪ Merit Systems Principles;</li> <li>▪ Safety and Occupational Health obligations;</li> <li>▪ Effective performance management; and</li> <li>▪ Effective management of ethics, conduct &amp; discipline issues.</li> </ul>
<b>Performance Standards</b>	
<b>Exceptional</b>	See Benchmark Standards
<b>Superior</b>	See Benchmark Standards
<b>Fully Successful</b>	See Benchmark Standards
<b>Minimally Successful</b>	See Benchmark Standards
<b>Unsatisfactory</b>	See Benchmark Standards

#### Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

**Rating for Critical Element 1:**

☐ Exceptional-5    ☐ Superior-4    ☐ Fully Successful-3    ☐ Minimally Successful-2    ☐ Unsatisfactory-0

**Part E: Critical Elements and Performance Standards:** List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

<b>Critical Element 2:</b>	<b>GPRA/Strategic Goal: Performance Measure:</b>
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	(Must describe measurable, results-oriented criteria)
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

### Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 2:

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

**Part E: Critical Elements and Performance Standards:** List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

<b>Critical Element 3:</b>	<b>GPRA/Strategic Goal:</b> <b>Performance Measure:</b>
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	(Must describe measurable, results-oriented criteria)
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

**Narrative Summary**

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

**Rating for Critical Element 3:**

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

**Part E: Critical Elements and Performance Standards:** List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

<b>Critical Element 4:</b>	<b>GPRA/Strategic Goal:</b> <b>Performance Measure:</b>
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	(Must describe measurable, results-oriented criteria)
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

**Narrative Summary**

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

**Rating for Critical Element 4:**

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

**Part E: Critical Elements and Performance Standards:** *List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.*

<b>Critical Element 5:</b>	<b>GPRA/Strategic Goal:</b> <b>Performance Measure:</b>
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	(Must describe measurable, results-oriented criteria)
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

**Narrative Summary**

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

**Rating for Critical Element 5:**

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

**Privacy Act Notice:** Chapter 43 of Title 5, U.S.C., authorizes collection of this information. The primary use of this information is by management and your servicing human resources office to issue and record your performance rating. Additional disclosures of this information may be: To MSPB, Office of Special Counsel, EEOC, the FLRA, or an arbitrator in connection with administrative proceedings; to the Department of Justice or other Federal agency, courts, or party to litigation when the Government is a party to or has an interest in the judicial or administrative proceeding; to a congressional office in response to an inquiry made on behalf of an individual; to the appropriate Federal, State, or local government agency investigating potential violations of civil or criminal law or regulation; and to Federal State, local and professional licensing boards in determining qualifications of individuals seeking to be licensed.

Collection of your Social Security Number is authorized by Executive Order 9397. Furnishing your Social Security Number is mandatory, failure to provide this information will prohibit data collection required by the Office of Personnel Management.

If your agency used the information furnished on this form for purposes other than those indicated above, it may provide you with an additional statement reflecting those purposes.



Benchmark Supervisory Performance Standards

**Exceptional:**

The employee demonstrates excellent leadership skills and with only rare exceptions develops effective working relationships with others; immediately handles difficult situations with subordinates with professionalism and effectiveness, and demonstrates foresight in correcting situations that may cause future problems before they arise; encourages independence and risk-taking among subordinates, yet takes responsibility for their actions; is open to and solicits the views of others, and promotes cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses.

The employee demonstrates a strong commitment to fair treatment, equal opportunity and the affirmative action objectives of the organization, and has a significant positive impact on achievement of goals in this area. In addition, the employee demonstrates innovation and specific positive achievements in meeting other management obligations such as safety, internal management controls, merit systems principles, performance management, and management of ethics, conduct and discipline issues. The employee systematically monitors quality, delivery, and customer satisfaction levels and makes adjustments accordingly; and works with staff to proactively implement solutions to prevent problems and avoid gaps in customer expectations.

Effective Performance Management: Uses employee preferences and performance information to identify both immediate and long-term developmental needs, helps staff to identify their own developmental needs and provides challenging assignments to address those needs; promotes cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses to accomplishments; and provides continuing constructive performance feedback, working with employees to identify ways to improve their strengths.

**Superior:**

The employee demonstrates good leadership skills and establishes sound working relationships; almost always handles difficult situations with subordinates with professionalism and effectiveness; shows good judgment in dealing with others and considering their views; has a strong sense of mission and seeks out responsibility; demonstrates a commitment to fair treatment, equal opportunity and the affirmative action objectives of the organization, and has a positive impact on achievement of goals in this area. In addition, the employee promotes a safe working environment and solutions to problems encountered in meeting other management obligations including internal management controls, merit systems obligations, managing performance, and management of ethics, conduct and discipline issues; and anticipates customer needs and resolves or avoids potential problems, resulting in high customer satisfaction. Employee tailors methods of reward and recognition to the individual to the extent possible, resulting in increased motivation in staff; and solicits employee input and takes initiative to seek out and arrange for a variety of developmental opportunities beyond standard training.

Effective Performance Management: Using effective planning, works with employees to exceed expectations in critical areas and shows sustained support of organizational goals; establishes sound working relationships with subordinates and shows good judgment in dealing with them, considering their views; works with employees to develop plans and timeframes to improve performance.

**Fully Successful:**

The employee is a capable leader who works successfully with others and listens to suggestions. The employee generally handles difficult situations with subordinates with professionalism and effectiveness. The employee also works well as a team member, supporting the group's efforts and showing an ability to handle a variety of interpersonal situations. The employee's work with others shows an understanding of the importance of fair treatment and equal opportunity and meets all management commitments related to providing a safe working environment, merit systems obligations, performance management, and internal controls, and management of ethics, conduct and discipline issues. The employee maintains contact with customers (internal and/or external), and is effective in understanding their needs and using feedback to address customer requirements. Provides timely, flexible, and responsive products and/or services to customers, resulting in valued products and services. Solicits employee input to improve work products and/or services and to develop employee skills. Recognizes and rewards employee contributions in a fair and consistent manner.

Effective Performance Management: The employee identifies and ensures alignment of unit goals with agency goals, seeks input of employees in the development of performance criteria, effectively translates and communicates project or work unit goals into concrete work assignments for staff; provides feedback and conducts reviews according to DOI established timeframes; ensures performance distinctions are made among individuals and awards are reflective of employee contributions toward organizational performance; and addresses poor performance in a fair and timely manner.

**Minimally Successful:**

The employee's supervisory performance shows serious deficiencies that require correction. The employee sometimes fails to motivate subordinates and promote team spirit; provide clear assignments and performance requirements or sufficient instructions to subordinates; provide sufficient explanation of organizational goals to subordinates; satisfy customer needs and/or meet customer service objectives; and/or meet production or mission goals in a timely and quality manner. The employee's work with others fails to show a consistent understanding of the importance of fair treatment and equal opportunity. The employee does not meet all management obligations related to internal controls, merit system obligations, performance management, and/or management of ethics, conduct and discipline issues.

**Unsatisfactory:**

Supervisory: The employee's supervisory performance is unsatisfactory. The employee usually fails to motivate subordinates and promote team spirit; often provides unclear assignments and performance requirements or insufficient instructions to subordinates; frequently fails to provide sufficient explanation of organizational goals to subordinates; generally fails to satisfy customer needs and/or meet customer service objectives; and/or frequently fails to meet production or mission goals in a timely and quality manner. The employee's work with others consistently fails to show an understanding of the importance of fair treatment and equal opportunity. Employee frequently fails to meet other management obligations related to internal controls, merit systems obligations, performance management, and/or management of ethics, conduct and discipline issues.